

TPM Workshop

Identifying Action Items: Performance-Based Programming

Philadelphia, PA

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U.S. Department of Transportation
Federal Highway Administration



Purpose

- Determine actions that will improve your process related to **Performance-Based Programming**

Identifying Action Items

1. Record level of maturity
2. Consider actions applicable to your agency
3. Identify priority actions for improvement
4. Complete detailed action item form for each action (finish as many as you can)

Handouts: Exercise C



Exercise C

Action Items: Performance-Based Programming

In this exercise you will identify 3 high priority improvement actions.

Step 1: Select level of maturity

For component Performance-Based Programming, use your assessment results and the Capability Maturity Model tables. Consider your assessment results and read the maturity level descriptions to select the level that best fits. Fill in the matrix below.

Step 2: Consider actions that apply to your agency

Reference the Capability Maturity Model Tables under "Actions to move to next level" in the third column. Consider what actions apply to your agency and write them down below.

Performance-Based Programming maturity level:

Actions

1.

2.

3.

4.

5.

6.

7.

8.

Step 3: Identify priority actions for improvement

Select 3 actions from Step 2 and list below.

Actions

1.

2.

3.

Step 4: Complete detailed action item form for each priority action

See following pages.

Handouts: Exercise C



Action Item #1
Action Item:
What is the problem we are trying to solve? How will this action help?
How will you know if your action is successful? (e.g. tangible results, progress milestones)
Responsibilities: Who should take the lead in implementing this action item? Who else should be involved?
Key issues to be resolved for implementation:



Handouts: CMM Tables (Exercise C)



Exercise A & C

Capability Maturity Model: Performance-Based Programming

Definition: The use of strategies and priorities to guide the allocation of resources to projects that are selected to achieve goals, objectives, and targets. Performance-based programming establishes clear linkages between investments made and expected performance outputs and outcomes.

Level	Description	ACTIONS to move to next level
INITIAL (Level 1)	<p>Programming decisions are not linked to agency's goals or supporting planning documents.</p> <p>Resource allocation decisions do not take tradeoffs across program areas into account.</p> <p>Resource allocation is based on formulas or historical allocations without analysis of performance impacts.</p> <p>Programming process lacks transparency.</p>	<p>Initiate an effort to develop a performance-based programming methodology (e.g., identification of project selection criteria) and process that considers tradeoff both within and across performance areas.</p> <p>Begin to define roles and responsibilities of key players.</p> <p>Initiate discussion with partner agencies on collaboration in programming.</p>
DEVELOPING (Level 2)	<p>A performance-based programming methodology and process under development that considers tradeoffs across performance areas.</p> <p>Project selection methodology being established that reflect agency goals, relative needs across program areas, priorities determined in planning documents, funding constraints and risk factors.</p> <p>Staff responsibilities and opportunities to collaborate with external stakeholders are being clarified.</p>	<p>Complete documentation of methodology and process that will be used to prioritize projects both within and across performance areas for inclusion in the STIP and TIP and agency budgets.</p> <p>Identify output targets to track the anticipated effects of projects.</p> <p>Identify risk factors that may impact program delivery and effectiveness.</p>
DEFINED (Level 3)	<p>The agency has established and documented a performance-based methodology and process to program projects across performance areas.</p> <p>Output targets are set to evaluate program delivery and anticipated results.</p> <p>The agency identified risk factors in programming and budgeting decisions.</p> <p>Staff responsibilities and external collaboration processes clarified.</p>	<p>Carry out the identified performance-based programming methodology and process both within and across performance areas.</p> <p>Enhance agency capabilities to evaluate investments both within and across program delivery areas and the effectiveness of investments towards achieving multiple strategic goals.</p>
FUNCTIONING (Level 4)	<p>Programming decisions are driven by a clear linkage between investments made an expected performance outputs and outcomes.</p> <p>External stakeholders understand programming decisions being made by the agency.</p> <p>Investments reflect tradeoffs across performance areas and seek to maximize achievement of multiple goals.</p> <p>Programming decisions reflect established priorities across multiple planning documents (e.g., SHSP, CMAQ, State Freight Plan).</p>	<p>Apply performance-based programming process both within and across program areas through two cycles.</p> <p>Ensure that senior management communicates that programming decisions must be based on achieving strategic goals, highlighting the agency's role in broader societal concerns.</p> <p>Following each cycle assess and refine to enhance collaboration across the agency and information used including the effect of implemented projects on performance outcomes.</p>

Level	Description	ACTIONS to move to next level
SUSTAINED (Level 5)	<p>Agency has applied performance-based programming across performance areas for multiple cycles.</p> <p>A strong feedback loop exists between performance monitoring and programming.</p> <p>Process and methodology is periodically refined to provide a better understanding of program effectiveness on mitigating risk and achieving the desired outcomes across goals.</p> <p>Collaboration internally and with external stakeholders has resulted in coordinated multi-modal and/or cross-jurisdictional projects to achieve desired outcomes.</p>	



Pro Tips – Exercise C

1. Refer to handouts with a White header for this exercise
2. Select Actions from any maturity level shown in the maturity model table, not just your stated maturity level



Breakout

- Complete the exercise for **Performance-Based Programming (Exercise C)**
- Report out: share your priority action items

Report Out

- 3 min per group
- Share your priority action items

